

FORM PTO-1390 (Modified) U.S. PATENT AND TRADEMARK OFFICE; U.S. DEPARTMENT OF COMMERCE  
(REV. 07-2004)

ATTORNEY'S DOCKET NUMBER

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A SUBMISSION UNDER 35 U.S.C. 371**

112740-1052

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

**10/521832**

INTERNATIONAL APPLICATION NO.

**PCT/DE2003/002274**

INTERNATIONAL FILING DATE

**07 July 2003**

PRIORITY DATE CLAIMED

**15 Jul 2002/18 Oct 2002**

TITLE OF INVENTION

**METHOD AND DEVICES FOR ENCODING/DECODING STRUCTURED DOCUMENTS, PARTICULARLY XML DOCUMENTS**

APPLICANT(S) FOR DO/EO/US

**Jorg Heuer et al.**

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☒ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
  - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☒ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☒ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☒ A copy of the International Search Report (PCT/ISA/210).

**Items 13 to 23 below concern document(s) or information included:**

13. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☒ A substitute specification.
18. ☐ A power of attorney and/or change of address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
20. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).
22. ☒ Express Mail Label No. EV 351265787 US
23. ☐ Other items or information:

U.S. APPLICATION NO. (if known, see 37 CFR 1.53) <b>107521832</b>		INTERNATIONAL APPLICATION NO. <b>PCT/DE2003/002274</b>		ATTORNEY'S DOCKET NUMBER <b>112740-1052</b>	
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24. The following fees are submitted: <b>BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5)):</b> <input checked="" type="checkbox"/> <b>Basic National Stage</b> <span style="float:right"><b>\$ 300.00</b></span>  <input checked="" type="checkbox"/> <b>National Stage Search Fee</b> <span style="float:right"><b>500.00</b></span> <input checked="" type="checkbox"/> <b>National Stage Examination Fee</b> <span style="float:right"><b>200.00</b></span> <input type="checkbox"/> <input type="checkbox"/>				<b>CALCULATIONS PTO USE ONLY</b>          	
<b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>				<b>1,000.00</b>	
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).					
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	<u>14</u> 14 - 20 =	<u>0</u>	x <b>50.00</b>		
Independent claims	<u>4</u> 4 - 3 =	<u>1</u>	x <b>200.00</b>	<b>200.00</b>	
Multiple Dependent Claims (check if applicable).				<input type="checkbox"/>	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				<b>1200.00</b>	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.					
<b>SUBTOTAL =</b>				<b>1200.00</b>	
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).					
<b>TOTAL NATIONAL FEE =</b>				<b>1200.00</b>	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable).				<input type="checkbox"/>	
<b>TOTAL FEES ENCLOSED =</b>				<b>1200.00</b>	
				Amount to be: refunded \$	
				charged \$	

a.	<input checked="" type="checkbox"/>	A check in the amount of <u><b>\$1,200.00</b></u> to cover the above fees is enclosed.
b.	<input type="checkbox"/>	Please charge my Deposit Account No. _____ in the amount of _____ to cover the above fees.
c.	<input checked="" type="checkbox"/>	The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u><b>02-1818</b></u>
d.	<input type="checkbox"/>	Fees are to be charged to a credit card. <b>WARNING:</b> Information on this form may become public. <b>Credit card information should not be included on this form.</b> Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO:

**William E. Vaughan (Reg. No. 39,056)**  
**Bell Boyd & Lloyd LLC**  
**P.O. Box 1135**  
**Chicago, Illinois 60690**  
**312.807.4292**

SIGNATURE \_\_\_\_\_  
**William E. Vaughan**  
 NAME \_\_\_\_\_  
**39,056**  
 REGISTRATION NUMBER \_\_\_\_\_  
**January 18, 2005**  
 DATE \_\_\_\_\_

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Jorg Heuer et al.  
Appl. No.: PCT/DE2003/002274  
Title: METHOD AND DEVICES FOR ENCODING/DECODING STRUCTURED  
DOCUMENTS, PARTICULARLY XML DOCUMENTS  
Docket No.: 112740-1052

Mail Stop PCT  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**CERTIFICATE OF MAILING BY EXPRESS MAIL UNDER 37 CFR 1.10**

Sir:

I hereby certify that the following documents relating to the above-identified application:

1. Transmittal Letter (duplicate);
2. International application as originally filed on 28 pages;
3. Preliminary Examination Report with amended sheets on 14 pages;
4. English translation with amended sheet on 25 pages;
5. unexecuted Declaration and Power of Attorney (3 pages);
6. Preliminary Amendment on 36 pages;
7. IDS on 1 page, PTO 1449 on 1 page, search report;
8. Check in the Amount of \$1200.00; and
9. Return Receipt Postcard.

are being deposited with the United States Postal Service with sufficient postage as  
Express Mail in an envelope addressed to:

Mail Stop PCT  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

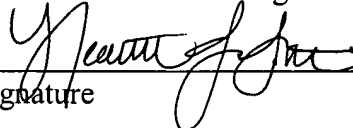
on January 18, 2005.

Respectfully submitted,

BELL, BOYD & LLOYD LLC

Heather Foster

Name of Person Mailing Correspondence

  
Signature

EV 351265787 US

Express Mail Mailing Label Number